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## **Performance Incentives: An Investment in Human Capital**

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*Human capital is the major resource in state government. To demand and expect excellence requires an appropriate investment in state government's most valuable resource, its employees. The entire human resources effort and process must be built on the premise that people and relationships matter and that employees are valued and respected. This poses a significant change in emphasis and a challenge for state government leaders.*

*Governor's Commission on Management, Accountability and Performance*

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CPM Project Paper  
Submitted January 28, 2005

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**STATE DOCUMENTS**

# **Performance Incentives: An Investment in Human Capital**

## **The South Carolina Department of Commerce**

### **Introduction**

The mission of the SC Department of Commerce (SCDOC) is to improve the per capita income of all South Carolinians in a manner that supports and enhances a high quality of life. Successful attainment of this mission requires a qualified, trained and motivated staff of business professionals. It is imperative for a state government, cabinet level agency to have strong systems in place that support its mission. SCDOC is utilizing a variety of mechanisms to attain its mission through the use of agency-wide strategic planning and accountability methods.

This CPM project is a result of the need to link individual employee performance management to the agency's strategic planning process through the use of incentive programs.

### **Purpose of Project**

This report will outline the current status of performance management, pay for performance options, and SCDOC's approach to incentive pay programs.

The purpose of SCDOC's Agency Performance Incentive Plan is to provide a strategic tool to assist the agency in achieving its mission by linking specific performance measures to incentive pay. The plan is designed to reward employees with exceptional performance for assigned duties and responsibilities, achieving targeted quality and productivity goals, and contributing to the strategic initiatives of the agency.

## **Current Status of Performance Management and**

### **Pay for Performance in State Government**

Governor Sanford's Commission on Management, Accountability and Performance (MAP Commission) appointed a Human Resources committee "To evaluate the efficiency and effectiveness of centralized and decentralized human resources functions in South Carolina state government and to recommend improvements in order to attract, motivate, retain and develop the best employees and to provide optimum services to internal and external customers within available resources." (Governor's Commission on Management, Accountability & Performance Report p.69) One area the Human Resources committee addressed was performance management. They determined that there is no agency accountability for strategic performance management; improper execution of existing systems; and a lack of clear outcome measures. These deficiencies result in the inability to evaluate performance. One key recommendation required agencies to identify a Development Plan for each employee that is linked to the annual EPMS with clear and measurable performance standards and direct correlation to the agency mission (Governor's Commission on Management, Accountability & Performance Report p.74). SCDOC is striving to achieve this recommendation through the implementation of an enhanced Employee Performance Management System (EPMS) and Agency Performance Incentive Plan (APIP).

## **Performance Management**

As of January 27, 2005, there were 60,677 individuals employed in full time positions with the state of South Carolina and 72 state agencies (S.C. Human Resources Information System, Office of Human Resources 2005). Each agency is responsible for managing and adapting the Employee Performance Management System (EPMS) to suit specific organizational needs.

All agencies are asked to report EPMS performance period dates and evaluation scores into the state's Human Resource Information System (HRIS). HRIS is an electronic data management system, managed by the state's Office of Human Resources, which tracks employment related information for state government. During fiscal year 2003-2004, 23% of state government employees did not receive evaluations (S.C. Human Resources Information System, Office of Human Resources 2005). As a result, they received a "Meets by Default" rating. To date, no mechanism exists to hold agencies and supervisors accountable for completing performance evaluations. Even when employees are evaluated, there is no level of accountability for the quality of the performance goals or consistency of scoring.

## **Employee Salary Increases and Pay for Performance**

Approximately one-fourth of the state budget is invested in payroll and benefits. Each year the legislature has the opportunity to allocate across the board funds for employee salary increases. The table below lists Cost of Living Adjustment and Merit increases since fiscal year 2000-2001 (S.C. Human Resources Information System, Office of Human Resources 2005).

<b>Fiscal Year</b>	<b>Type of Salary Increase</b>	<b>% Increase</b>	<b>Effective Date</b>
2000-2001	Cost of Living Adjustment Merit	2.5% 1%	6/2/00 Employee Review Date
2001-2002	Cost of Living Adjustment Merit	1.5% 1%	6/2/01 Employee Review Date
2002-2003	No allocation		
2003-2004	No allocation		
2004-2005	Cost of Living Adjustment	3%	6/2/04

While state government employees have experienced a 7% increase for Cost of Living Adjustments during the last 4 years, they received no increase for a 3 year period from 6/2/01 – 6/2/04. The two merit increases were often administered across the board by agencies instead of based upon individual performance.

There are also a variety of pay for performance options available to compensate employees for reasons of performance, additional duties or additional responsibilities that do not require legislative allocation.

### **SCDOC's Approach to Incentive Pay Programs**

The agency's reorganization in 2003 diminished the number of employees by 31%. However, in most cases the level of responsibility remained constant and in many areas increased. The primary reason for implementing incentive plans at the Department of Commerce was to create a working environment that rewards a sustained level of performance where the **individual** employee's performance objectives are directly tied to the agency's mission and strategic goals. These programs provide for job growth opportunities (training & increased responsibility), financial incentives for high performers, and mechanisms to hold low performers accountable.

SCDOC has been developing a strategic plan for the past year. During 2004, staff retreats were held at both the Executive and Division levels to review and revise the

agency's mission, develop strategic goals, and identify key bets. Key bets are short-term strategic initiatives that can be accomplished within a one year time frame or less. All strategic initiatives and key bets are tied to the agency's budgeting and accountability report process. The development of incentive plans will allow the agency to link each employee performance measures to the strategic planning process.

In August 2004, SC DOC began to develop incentive programs for all agency employees. This was not the first time the agency utilized incentive programs. From 1998 to 2002, the agency implemented an Incentive Pay Program. This program was designed to reward high performing project managers in what is now called the Global Business Development Division. No other employees within the agency were eligible to participate in this program. The Incentive Pay Program was frozen in 2003 due to budget cuts and agency restructuring. The Sales Incentive Plan was updated in October 2004 to include increased levels of accountability and measurement. It is pending approval from the state's Budget and Control Board.

After reorganization of the agency in 2003, a draft plan for an Agency Performance Incentive Plan (APIP) (Appendix B) was written but not implemented. This plan was based on the State of South Carolina's Employee Bonus Guidelines, which allow for a maximum bonus payment of \$2,000 per fiscal year. The APIP was also revised to include an increased level of accountability and measurement. All agency employees who have achieved covered status in a full time equivalent position are eligible to participate in the APIP. This excludes those employees who will participate in the SIP. Implementation of the APIP begins on February 2, 2005.

Both the SIP and APIP are linked to the agency's Employee Performance Management System (EPMS). The agency has restructured its EPMS document (Appendix C) and process to correspond with both incentive plans.

### **Plan Development & Implementation**

The following sections provide an overview of the process used to develop the APIP. Components of the program, key need areas that were addressed, and recommendations for tracking and measurement are discussed.

While it was important to link the incentive plan to the EPMS process, there was a clear need to enhance the current system. Several internal and external resources were used to gain input about the best way to improve the EPMS process. The agency's executive staff provided historical perspective relating to the existing process. Members of the agency's Executive Staff also met with the Governor's Office to ensure the incentive programs were in line with the Governor's pay for performance goals for state government and cabinet agencies. Finally, several members of the State Office of Human Resources reviewed the Plan to ensure compliance with the State Employee Bonus Guidelines.

In January 2005, SCDOC utilized an Employee Satisfaction Survey to seek feedback from its staff. The survey asked a variety of questions in categories such as agency supervision, reward and recognition, and performance management. Employees were asked the following questions regarding performance management and pay.

<b>Question</b>	<b>Response Rate</b>
I know what is expected of me in my job	90% Agree or Strongly Agree
I receive regular feedback about my job performance/progress	64% Agree or Strongly Agree
I receive adequate feedback about my job performance/progress	67% Agree or Strongly Agree
I receive fair and competitive compensation for the work that I do	41% Agree or Strongly Agree

While 90% of agency employees have a clear understanding of performance expectations, it is evident that the agency can improve in the areas of feedback and pay for performance.

### Components of the Incentive Plan

	Goal Category
<b>Division Goals</b>	Division Key Bets
<b>Individual Goals</b>	EPMS Quality Goals
	EPMS Productivity Goals
	EPMS Performance Characteristics
	Discretionary

The APIP program was designed to reward employees who perform at an “Exceeds Performance Requirements” level or above. The APIP is based on two levels of goal attainment, Division Goals and Individual Goals. It is important to note this program eliminates rewarding employees across the board or individuals who perform at a “Meets” performance requirements level.

Individual Goals are developed for the performance period in the employee’s EPMS document. There are three incentive categories; Quality Goals, Productivity Goals and Performance Characteristics. Quality Goals and Productivity Goals measure employee performance from a qualitative and quantitative perspective. Performance Characteristics are behaviors that an agency wants an employee to exhibit. They can be specific to an employee’s position, a department, or for the agency. All three Individual Goal categories are measured using the Performance Rating Scale. An employee must perform at an “Exceeds Performance Requirements” level or higher in all three individual goal categories to be eligible for an incentive.



The Division Goals level is based upon the number of key bets a division achieves within the performance period. The division must achieve a minimum of 90% of its key bets or higher to be eligible for a division incentive. Employees must be eligible for an incentive award in the Quality Goals, Performance Characteristics and Productivity Goals categories to be eligible for a division incentive award.

### **Key Need Areas**

The following key need areas were identified and addressed throughout the development and implementation of the APIP:

- **Update EPMS Documents and Process:** A new EPMS document was developed to incorporate the parameters of the incentive programs. Directors and employees will work together to develop incentive goals. Goals will be written to represent both a “Meets” and “Exceeds” performance requirements level.
- **Performance Rating Scale:** The Performance Rating Scale used in the EPMS system was expanded to include the “Substantially Exceeds” performance requirements rating.
- **Qualitative and Quantitative Goals:** The APIP was developed to track both qualitative and quantitative goals in the quality goals and productivity goals categories.
- **Performance Characteristics:** The rating system for performance characteristics was changed from rating employees as acceptable or unacceptable to utilizing the performance rating scale.

- **EPMS training:** All agency Directors and Team Leaders received training in the areas of the EPMS process and Incentive Plan. These training sessions were broken down to coincide with the implementation timeline. This training also provided supervisors with best practices in utilizing these programs.
- **EPMS Tracking Database:** A database was developed to track administrative data of the EPMS process. It includes rating periods, scores and incentive payment tracking. This will allow immediate reporting and tracking capabilities.
- **Universal Review Date:** Employees who participate in the APIP program will be moved to a new universal review date which coincides with the fiscal year. This will improve likelihood of sustainable program funding. The strategic planning process also operates on a fiscal year basis.

### **Recommendations for Tracking and Measuring the Program**

It is recommended that the APIP be measured in a variety of ways from the perspective of individual employee, division and agency to include the following:

- **Surveys:** The agency will continue to conduct an annual Employee Satisfaction Survey to track on-going effectiveness of the EPMS and APIP programs. Surveys will be conducted with executive staff after implementation of the APIP to identify opportunities for improvement.
- **Quality Audits:** The quality of incentive goals will be audited each year. Evaluations/Incentive Scoring will also be closely monitored to ensure that incentives are legitimately administered.

- **Goal Attainment:** The agency will continue to track the level of goal attainment of strategic goals and key bets on a monthly, quarterly and annual basis.
- **Annual Reports:** An annual report will be submitted to the Secretary of Commerce and Chief of Staff outlining the program cost and distribution of scoring. The agency is also required to provide the Office of Human Resources with similar reporting information.
- **Turnover:** The agency will look at agency turnover rates to determine if there is a correlation between employee performance management, pay for performance and turnover. This information will gathered through the exit interview process.

## **Appendix A**

### **Definition of Terms**

The following terms and acronyms were used throughout this report.

#### **Terms**

**Bonus:** Money in excess of what is normally received or strictly due, given in consideration of superior achievement

**Incentive:** The expectation of reward that incites to action or effort; motivating

**Key Bets:** Short-term strategic initiatives which can be accomplished within a 1 year timeframe or less.

#### **Acronyms**

**APIP:** Agency Performance Incentive Plan

**EPMS:** Employee Performance Management System

**SCDOC:** South Carolina Department of Commerce

**SIP:** Sales Incentive Plan

## Appendix B

### SC DEPARTMENT OF COMMERCE AGENCY PERFORMANCE INCENTIVE PLAN PROCEDURES AND GUIDELINES

February 2005

THE LANGUAGE USED IN THIS DOCUMENT DOES NOT CREATE ANY EXPRESSED OR IMPLIED EMPLOYMENT CONTRACT BETWEEN THE EMPLOYEE AND THE SC DEPARTMENT OF COMMERCE. NO PROMISES OR ASSURANCES, WHETHER WRITTEN OR ORAL, WHICH ARE CONTRARY TO OR INCONSISTENT WITH THE TERMS OF THIS PARAGRAPH CREATE ANY CONTRACT OF EMPLOYMENT.

#### **Purpose**

The purpose of the Agency Performance Incentive Plan is to provide a strategic tool to assist the Department of Commerce in achieving its goal of improving the economic well being of South Carolinians in a manner that supports and enhances a high quality of life by linking specific performance measures to incentive pay. The plan is designed to potentially reward employees for exceptional performance for assigned duties and responsibilities, achieving targeted quality and productivity goals and contributing to the strategic initiatives of their business unit.

#### **1. Term of Program**

- a. **Goal Cycle and Performance Review Dates** – The goal cycle for the Plan is based on the fiscal year (July 1 to June 30).
- b. **Employee Performance Management System (EPMS)** - The official performance review date is August 2nd. Planning stages and goals for the review period should be prepared and completed by August 16th. Performance evaluations and incentive award calculations are due by July 16th. Individual goals will be included on each employee's EPMS and will be used to determine overall performance ratings, base salaries, promotions, and substandard performance. A mid-year review will be conducted by February 2<sup>nd</sup>, 2006.

Due Date	Incentive Stage
July 1 – June 30	Performance Review Dates
August 2	Official Review Due Date
August 16	Planning Stage Document Completed Incentive Plan Agreement Signed by Supervisor/Employee
February 2	Mid-year Review
July 16	Previous Year EPMS Evaluation submitted Previous Year Incentive Award Calculations & documentation

	submitted New year EPMS Planning document submitted New year Incentive Plan Agreement signed and submitted
September 1	Previous Year Incentive Bonuses Awarded

## 2. Incentive Plan Agreement

- a. Individuals must elect to participate in the program by completing and signing an Incentive Plan Agreement by the beginning of the Goal Cycle, August 16th.
- b. Individuals who elect not to participate in the program will still be held responsible for meeting individual goals as determined by their supervisor and listed in their EPMS planning document.

## 3. Eligibility – Employees must meet all requirements listed below for eligibility to participate in the Agency Performance Incentive Plan.

- a. Employees must be in a full time equivalent (FTE) position and achieved covered status as defined by the Office of Human Resources Personnel Regulations, which requires successful completion of a 1-year probationary period.
- b. Employees who are in uncovered positions and are exempt from grievance rights, must have completed 1 year of full time employment with the SC Department of Commerce in order to be eligible to participate in the program.
- c. Employees who have achieved covered status and are hired, transferred or promoted to the SC Department of Commerce will not be eligible to participate in the program for a period of 1 year. Awards will be prorated on a monthly basis for employees who achieve eligibility in the middle of a calendar year based on the number of months they were assigned goals. The incentive award for each level of performance will also be reduced proportionately.
- d. Temporary and contract employees will not be eligible to participate in the program.
- e. Employees who participate in the Sales Incentive Plan are not eligible to participate in the program.
- f. Any employee who is separated from employment before the end of the goal cycle will be ineligible for an incentive.
- g. Employees who are placed in a substandard performance status are ineligible to participate in the program until satisfactory completion of the substandard performance process. In the event that an employee is eligible for an incentive award at the end of the goal cycle, the award will be prorated to exclude the timeframe of the substandard performance process.

4. **Payment Process** – Employees will receive a final, one-time, incentive bonus not to exceed \$2,000. The incentive amount will be paid during the month of September of the fiscal year immediately following the end of the goal period. Payments will be reflected as a one-time lump sum payment (bonus) which will not become a part of the employee's base salary and will not be earnable compensation for purposes of employee contributions to respective retirement systems. (See Section 3 for exceptions)
5. **Plan Administration** - The plan will be administered by the Director of Human Resources subject to the approval of the Chief of Staff and as appropriate, the Secretary of Commerce.
6. **Appeals Process** - Any disputes or disagreements arising out of or as a part of this Plan, including but not limited to interpretation of these procedures and guidelines, shall be resolved by the respective division director, with the right of appeal to the Chief of Staff and Secretary of Commerce, in that order. The Secretary's decision shall be final.
7. **Source of Funds** – State appropriated funds, carry forward funds, federal funds or other sources of revenue will be used to award bonuses.
8. **Amendment and Termination of the Plan** - While it is intended that the Plan will become an integral part of the Department's compensation policy for employees, the Department reserves the right to terminate, suspend, or amend the Plan, in whole or in part, from time to time as conditions warrant. The plan is designed to be flexible in response to changing competitive environments and the Department's financial status. Modifications may be made to this plan with the appropriate approval from the Secretary of Commerce and the Office of Human Resources.

### Goal Development and Award Calculation

**Annual Goal Establishment** - Goals are developed for each employee on an annual basis by fiscal year (July 1 – June 30). Division goals are developed by the Secretary of Commerce, Chief of Staff and Division Directors. Individual goals are developed by Division Directors, Team Leaders and individual employees with the approval of the Secretary of Commerce and Chief of Staff.

Division & Individual Goal Distribution			
	Goal Category	Max Amt.	% of Total
Division Goals	Division Key Bets	\$500	25%
Individual Goals	EPMS Quality Goals	\$500	25%
	EPMS Performance Characteristics	\$200	10%
	EPMS Productivity Goals	\$600	30%
	Discretionary	\$200	10%
Total Maximum Award Amount		\$2,000	

### DIVISION GOALS

#### **Key Bets**

Key Bets represent strategic initiatives that can be attained within a fiscal year period or less. Key Bets are developed on a fiscal year basis by each division within the agency and include specific attainment parameters and time frames.

- a. **Reporting Requirements** - Division Directors are required to report their key bet status on a monthly basis to the Secretary of Commerce and Chief of Staff. The Secretary of Commerce and Chief of Staff determine when a division has met the requirements of a key bet.
- b. **Rating Scale** - Key Bets will be rated using the Rating Scale shown below. The rating will be based upon the number of Key Bets that are satisfactorily accomplished within the Goal Cycle. 90% of Key Bets must be completed for employees to receive an incentive award.

Incentive Rating Scale Division Goals	
Incentive Rating	% Goal Attainment
1	90%
2	100%
3	115%

- c. **Division Incentive Eligibility** – Employees must achieve incentive award eligibility in the Quality Goals, Performance Characteristics and Productivity Goals categories to be eligible for a division incentive award.



- d. **Maximum Compensation Amount** – Employees can earn a maximum of \$500.00 in the Division Key Bets category.

### **INDIVIDUAL GOALS**

Individual goals are based upon three measurements within the employees EPMS planning stage document. They are quality goals, performance characteristics and productivity goals.

**Quality Goals** – Quality goals are based upon EPMS job duties and objectives. They clearly identify and measure expectations and outcomes of the qualitative level of performance a supervisor expects an employee to attain in order to exceed performance requirements. Quality goals are required for each job duty and objective. They must be measurable and/or observable, should reflect the employee's skillfulness, and must be attainable. Quality goals may contain opportunities for improvement of processes. streamlining, cost savings, cross training, etc.

**Productivity Goals** - Each employee's EPMS will include individual productivity goals. These will be based upon Job Duties and Objectives. Productivity goals should clearly identify quantitative measures and outcomes a supervisor expects an employee to attain in order to exceed or substantially exceed performance requirements. Each employee's EPMS should include a minimum of four (4) productivity goals. Each goal must contain observable and measurable criteria. Not all job duties/objectives will have productivity goals; however, a job duty may have more than one productivity goal. When this occurs, the supervisor will assign a rating of what she/he believes is the average.

**Performance Characteristics** – Performance characteristics are behaviors that an agency wants an employee to exhibit. They can be specific to an employee's position, a department, or for the agency. 5 Performance Characteristics must be identified for each employee. "Promoting Equal Opportunity" and "Leadership" characteristics are required for all management and supervisory employees. "Teamwork" and "Attitude" characteristics are required for all agency employees. Each Performance Characteristic will be rated using the Performance Rating Scale.

- a. **Reporting Requirements** – Each employee's EPMS will include individual quality goals, performance characteristics and productivity goals. Section 1b (Employee Performance Management System) describes specific reporting requirements and timeframes.
- b. **Rating Scale & Eligibility** - Goal achievement will be calculated individually based upon the Performance Rating Scale. Employees must achieve a cumulative EPMS Rating Factor of 2.5 or higher to be eligible for any level of performance incentive. The scores will be calculated together to determine the final EPMS Rating Factor. If an employee fails to achieve a 2.5 rating or higher, they will be ineligible for any category of performance incentive pay.

**Performance Rating Scale**  
**Quality Goals, Performance Characteristics &**  
**Productivity Goals**

Below Requirements (BR)	0 to 1.4
Meets Requirements (MR)	1.5 to 2.4
Exceeds Requirements (ER)	2.5 to 3.4
Substantially Exceeds Requirements (SE)	3.5 to 4.0

*\*\* Employees must receive an exceeds or substantially exceeds rating to be eligible for a performance incentive.*

- a. **Maximum Compensation Amount** – Employees can earn a maximum of \$500 in the quality goals category, \$200 in the performance characteristics category and \$600 in the productivity goals category.

**Discretionary Bonus**

The Secretary of Commerce will advise with the Chief of Staff to determine whether to issue an exceptional discretionary bonus up to \$200.00 based on consideration of unpredictable or unavoidable conditions that affected goal achievement or performance that substantially exceeded that of other team or division members. The discretionary bonus will require written justification from the employee's Division Director submitted to the Secretary of Commerce.

SC Department of Commerce  
Agency Performance Incentive Plan

Breakdown of Incentive based on Rating Scales

Individual Goals				
Performance Rating Scale		EPMS Quality Goals	EMPS Performance Characteristics	EPMS Productivity Goals
BR **	0 to 1.4	-	-	-
MR **	1.5 to 2.4	-	-	-
ER	2.5 to 3.4	\$ 250	\$ 150	\$ 300
SE	3.5 to 4.0	\$ 500	\$ 200	\$ 600

*\*\*Employees must receive an exceeds or substantially exceeds rating to be eligible for a performance incentive.*

Incentive Rating Scale		Division Goals Key Bets
90%	1	\$ 250
100%	2	\$ 350
115%	3	\$ 500

## SC Department of Commerce

### Agency Performance Incentive Plan Agreement

Plan Year

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Employee Name

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My signature below signifies my receipt and understanding of my goals for this Calendar Year. I have been provided with a copy of my EPMS Planning Stage and the Agency Performance Incentive Plan. I have been given an opportunity to ask questions and discuss my goals with my supervisor.

---

Employee Signature

---

Date

---

Supervisor Signature

---

Date

## **Appendix C**

### **EPMS Document**

# South Carolina Department of Commerce

## Position Description & Performance Evaluation Form

Name: \_\_\_\_\_ Social Security #: \_\_\_\_\_  
 State Class \_\_\_\_\_ Internal Title: \_\_\_\_\_  
 Title/Code: \_\_\_\_\_ Review Period  
 Division / Work Unit : \_\_\_\_\_ From: \_\_\_\_\_ To: \_\_\_\_\_  
 Supervisors Name and Title: \_\_\_\_\_

*The job duties do not significantly differ from the previous position description/EPMS document. The position does not need to be reviewed for reclassification.*

☐

*The job duties have significantly changed from the previous position description/EPMS document. Please review for reclassification.*

☐

### Planning Stage Signatures

Team Leader's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Supervisor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Reviewing Authority's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Employee's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

*My signature acknowledges that in planning for my initial or subsequent performance review(s) my supervisor and I have discussed this position description and any documented changes in work duties/success criteria for the next review period, as applicable.*

### Evaluation Stage Signatures

Overall Performance Rating

☐ Substantially Exceeds

☐ Exceeds Expectations

☐ Meets Expectations

☐ Below Expectations

Team Leader's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Supervisor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Reviewing Authority's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Employee's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

*I have reviewed this document, discussed the contents with my supervisor, and acknowledge this with my signature. My signature does not necessarily indicate that I agree with my supervisor's assessment of my performance.*

Reviewer Comments:

Employee Comments:

### ***Position Supervision***

Describe the guidelines and supervision an employee receives in order to do this job, including the employee's independence and discretion.

List the classification titles and number of the three highest level subordinate position(s) reporting directly to you.

<b>Titles</b>	<b>Number</b>
1.	
2.	
3.	
Total Number of Employees Under Your Supervision:	

### ***Job Purpose***

--

### ***Qualifications***

List what you consider to be the qualifications required for entry into this position.

**Education, Training, and Experience (cite major areas of study, type & years of experience)**

--

**Special licenses, registrations or certifications**

--

**Skills and Abilities**

--

## Job Duties, Objectives, Success Criteria and Performance Evaluation

Indicate the importance of the job duty/objective in terms of overall criticality to job success by assigning to it a percentage. Indicate essential and marginal duties/objectives by checking the appropriate block. Essential duties/objectives are the most critical, important duties/objectives for which the job was created. Marginal duties/objectives are non-critical and could be performed by another position. The percentage of importance for job duties/objectives with success criteria should total 100%.

At the end of each review period check the rating which reflects the employee's actual performance for each job duty/objective. Include a descriptive explanation for all ratings. The rating scale is as follows:

### Performance Rating Scale

**Substantially Exceeds:** Work that is characterized by exemplary accomplishments throughout the rating period; performance that is considerably and consistently above the success criteria of the job

**Exceeds Performance Requirements:** Work that is substantially and consistently above the success criteria of the job throughout the rating period.

**Meets Performance Requirements:** Work that routinely meets the success criteria of the job.

**Below Performance Requirements:** Work that routinely fails to meet the success criteria of the job.

1. _____ % <input type="checkbox"/> Essential <input type="checkbox"/> Marginal	Job Duty/Objective:	
Quality Goals/Criteria:  Actual Performance/Comments:		Quality Rating <input type="checkbox"/> Substantially Exceeds <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Meets Expectations <input type="checkbox"/> Below Expectations
Productivity Goals/Criteria:  <input type="checkbox"/> This Job Duty/Objective does <b>NOT</b> require productivity Goals  Actual Performance/Comments:		Productivity Rating <input type="checkbox"/> Substantially Exceeds <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Meets Expectations <input type="checkbox"/> Below Expectations

2. _____ % <input type="checkbox"/> Essential <input type="checkbox"/> Marginal	Job Duty/Objective:	
Quality Goals/Criteria:  Actual Performance/Comments:		Quality Rating <input type="checkbox"/> Substantially Exceeds <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Meets Expectations <input type="checkbox"/> Below Expectations
Productivity Goals/Criteria:  <input type="checkbox"/> This Job Duty/Objective does <b>NOT</b> require productivity Goals  Actual Performance/Comments:		Productivity Rating <input type="checkbox"/> Substantially Exceeds <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Meets Expectations <input type="checkbox"/> Below Expectations



3. _____%	<b>Job Duty/Objective:</b>	
<input type="checkbox"/> Essential <input type="checkbox"/> Marginal		
<b>Quality Goals/Criteria:</b>  <b>Actual Performance/Comments:</b>		<b>Quality Rating</b> <input type="checkbox"/> Substantially Exceeds <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Meets Expectations <input type="checkbox"/> Below Expectations
<b>Productivity Goals/Criteria:</b>  <input type="checkbox"/> This Job Duty/Objective does <b><u>NOT</u></b> require productivity Goals  <b>Actual Performance/Comments:</b>		<b>Productivity Rating</b> <input type="checkbox"/> Substantially Exceeds <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Meets Expectations <input type="checkbox"/> Below Expectations

4. _____%	<b>Job Duty/Objective:</b>	
<input type="checkbox"/> Essential <input type="checkbox"/> Marginal		
<b>Quality Goals/Criteria:</b>  <b>Actual Performance/Comments:</b>		<b>Quality Rating</b> <input type="checkbox"/> Substantially Exceeds <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Meets Expectations <input type="checkbox"/> Below Expectations
<b>Productivity Goals/Criteria:</b>  <input type="checkbox"/> This Job Duty/Objective does <b><u>NOT</u></b> require productivity Goals  <b>Actual Performance/Comments:</b>		<b>Productivity Rating</b> <input type="checkbox"/> Substantially Exceeds <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Meets Expectations <input type="checkbox"/> Below Expectations

5. _____%	<b>Job Duty/Objective:</b>	
<input type="checkbox"/> Essential <input type="checkbox"/> Marginal		
<b>Quality Goals/Criteria:</b>  <b>Actual Performance/Comments:</b>		<b>Quality Rating</b> <input type="checkbox"/> Substantially Exceeds <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Meets Expectations <input type="checkbox"/> Below Expectations
<b>Productivity Goals/Criteria:</b>  <input type="checkbox"/> This Job Duty/Objective does <b><u>NOT</u></b> require productivity Goals  <b>Actual Performance/Comments:</b>		<b>Productivity Rating</b> <input type="checkbox"/> Substantially Exceeds <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Meets Expectations <input type="checkbox"/> Below Expectations

6. _____%	<b>Job Duty/Objective:</b>	
<input type="checkbox"/> Essential <input type="checkbox"/> Marginal		
<b>Quality Goals/Criteria:</b>  <b>Actual Performance/Comments:</b>		<b>Quality Rating</b> <input type="checkbox"/> Substantially Exceeds <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Meets Expectations <input type="checkbox"/> Below Expectations
<b>Productivity Goals/Criteria:</b>  <input type="checkbox"/> This Job Duty/Objective does <b><u>NOT</u></b> require productivity Goals  <b>Actual Performance/Comments:</b>		<b>Productivity Rating</b> <input type="checkbox"/> Substantially Exceeds <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Meets Expectations <input type="checkbox"/> Below Expectations

7. _____%	<b>Job Duty/Objective:</b>	
<input type="checkbox"/> Essential <input type="checkbox"/> Marginal		
<b>Quality Goals/Criteria:</b>  <b>Actual Performance/Comments:</b>		<b>Quality Rating</b> <input type="checkbox"/> Substantially Exceeds <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Meets Expectations <input type="checkbox"/> Below Expectations
<b>Productivity Goals/Criteria:</b>  <input type="checkbox"/> This Job Duty/Objective does <b><u>NOT</u></b> require productivity Goals  <b>Actual Performance/Comments:</b>		<b>Productivity Rating</b> <input type="checkbox"/> Substantially Exceeds <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Meets Expectations <input type="checkbox"/> Below Expectations

8. _____%	<b>Job Duty/Objective:</b>	
<input type="checkbox"/> Essential <input type="checkbox"/> Marginal		
<b>Quality Goals/Criteria:</b>  <b>Actual Performance/Comments:</b>		<b>Quality Rating</b> <input type="checkbox"/> Substantially Exceeds <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Meets Expectations <input type="checkbox"/> Below Expectations
<b>Productivity Goals/Criteria:</b>  <input type="checkbox"/> This Job Duty/Objective does <b><u>NOT</u></b> require productivity Goals  <b>Actual Performance/Comments:</b>		<b>Productivity Rating</b> <input type="checkbox"/> Substantially Exceeds <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Meets Expectations <input type="checkbox"/> Below Expectations

## Performance Characteristics

For each performance characteristic, check the rating which reflects the employee's actual performance	
<p><b>1. Performance Characteristic Definition:</b> Teamwork – Works effectively with others, respecting their ideas and contributions and practicing “win-win” decision making; functions as a positive, active participant in group activities designed to improve agency processes and systems.</p> <p><b>Actual Performance/Comments:</b></p>	<p><b>Performance Rating</b></p> <p><input type="checkbox"/> Substantially Exceeds</p> <p><input type="checkbox"/> Exceeds Expectations</p> <p><input type="checkbox"/> Meets Expectations</p> <p><input type="checkbox"/> Below Expectations</p>
<p><b>2. Performance Characteristic Definition:</b> Attitude – A complex mental state involving beliefs, feelings and values, and dispositions to act in certain ways affecting behavior that could reflect a positive or negative impression. These behaviors include but are not limited to how the employee communicates with others in the workplace, shows respect for others, their tolerance of others or events, how they will interpret and respond to situations, their disposition, their willingness to help others, and moodiness.</p> <p><b>Actual Performance/Comments:</b></p>	<p><b>Performance Rating</b></p> <p><input type="checkbox"/> Substantially Exceeds</p> <p><input type="checkbox"/> Exceeds Expectations</p> <p><input type="checkbox"/> Meets Expectations</p> <p><input type="checkbox"/> Below Expectations</p>
<p><b>3. Performance Characteristic Definition:</b></p> <p><b>Actual Performance/Comments:</b></p>	<p><b>Performance Rating</b></p> <p><input type="checkbox"/> Substantially Exceeds</p> <p><input type="checkbox"/> Exceeds Expectations</p> <p><input type="checkbox"/> Meets Expectations</p> <p><input type="checkbox"/> Below Expectations</p>
<p><b>4. Performance Characteristic Definition:</b></p> <p><b>Actual Performance/Comments:</b></p>	<p><b>Performance Rating</b></p> <p><input type="checkbox"/> Substantially Exceeds</p> <p><input type="checkbox"/> Exceeds Expectations</p> <p><input type="checkbox"/> Meets Expectations</p> <p><input type="checkbox"/> Below Expectations</p>
<p><b>5. Performance Characteristic Definition:</b></p> <p><b>Actual Performance/Comments:</b></p>	<p><b>Performance Rating</b></p> <p><input type="checkbox"/> Substantially Exceeds</p> <p><input type="checkbox"/> Exceeds Expectations</p> <p><input type="checkbox"/> Meets Expectations</p> <p><input type="checkbox"/> Below Expectations</p>

### Supervisory Summary and Comments

Please include information regarding areas in which employee has excelled, as well as the steps that need to be taken by the employee and the supervisor to further enhance performance and career development.

## Annual Training Objectives

<b>Employee Name:</b>	<b>Division:</b>	<b>Date:</b>
<i>Supervisors and employee should discuss training goals during Planning Stage development. Training should be related to improved overall job performance. At least one class, seminar and/or conference related to the employee's position may be scheduled. Training will occur if the DOC budget allows funds for such training.</i>		
<b>1. Training Description:</b>  		
<b>Comments: (Justification required for any training not completed)</b>	<input type="checkbox"/> Completed <input type="checkbox"/> Not Completed	
<b>2. Training Description:</b>  		
<b>Comments: (Justification required for any training not completed)</b>	<input type="checkbox"/> Completed <input type="checkbox"/> Not Completed	
<b>3. Training Description:</b>  		
<b>Comments: (Justification required for any training not completed)</b>	<input type="checkbox"/> Completed <input type="checkbox"/> Not Completed	

## RATING SYSTEM

Fill in the Rating. Scores equal Weight (%) x Rating Value. When a Duty/Objective has a Productivity Goals, enter the same weight percentage for Productivity Goal as the Quality Goal.

Duties/Objectives Quality Goals	Weight %		Rating Value		Score*
1	0	x	0	=	0
2	0	x	0	=	0
3	0	x	0	=	0
4	0	x	0	=	0
5	0	x	0	=	0
6	0	x	0	=	0
7	0	x	0	=	0
8	0	x	0	=	0
Total	0		Total		0
			Score		<b>!Zero Divide</b>

Duties/Objectives Productivity Goals	Weight %		Rating Value		Score*
1		x		=	0
2		x		=	0
3		x		=	0
4		x		=	0
5		x		=	0
6		x		=	0
7		x		=	0
8		x		=	0
Total	0		Total		0
			Score		<b>!Zero Divide</b>

Performance Characteristics	Weight %		Rating Value		Score*
1	20	x		=	0
2	20	x		=	0
3	20	x		=	0
4	20	x		=	0
5	20	x		=	0
Total	100		Total		0
			Score		0.0

Final Score	
Quality Goals Score	0
Productivity Goals Score	0
Performance Characteristics Score x .5	0.0
Total	0.0
Final Score	0.0

### RATING VALUES:

Below Performance Requirements:	1	0.0 to 1.4
Meets Performance Requirements:	2	1.5 to 2.4
Exceed Performance Requirements:	3	2.5 to 3.4
Substantially Exceeds Requirements:	4	3.5 to 4.0

*Quality Goals Score and Performance Characteristics Score equals Total divided by 100*

*Productivity Goals Score equals Total divided by Total of Percentages*

*Final Score is Total divided by 2.5*